

# National Request for Applications FY '05 Source Reduction Assistance Program Including Region 10 Requirements

## OVERVIEW

**Sponsoring Agency and Office:** Environmental Protection Agency's eight Regional Pollution Prevention (P2) Program offices.

**Funding Opportunity Title:** Source Reduction Assistance Program.

**Announcement Type:** Initial Announcement for Fiscal Year 2005.

**Catalog of Federal Domestic Assistance (CFDA) Number:** 66.717.

**OPPT Solicitation Number:** 04/06/05/PPD

**Application Submission Deadlines:** The deadlines for pre-proposals and/or applications vary by region. Please go to Section IV. part E, for more information.

### **Region 10 Information**

The deadline for preapplications sent to EPA Region 10 is close of business May 20, 2005. If funding remains after selection(s) are made from the May 20, 2005 preapplications EPA Region 10 may solicit a second round of preapplications. If a second round is held preapplications will be due by close of business June 24, 2005.

## FULL TEXT OF ANNOUNCEMENT

- I. **Funding Opportunity Description.** Eight of EPA's ten Regional Pollution Prevention (P2) Program offices expect to have approximately \$163,000 available, **per region**, in fiscal year 2005, to fund projects supporting source reduction, pollution prevention and/or resource conservation activities.<sup>1</sup> Two of the ten EPA Regions (Regions 1 and 2) are developing their own assistance agreement notices and will not be awarding grants or cooperative agreements through this announcement.<sup>2</sup> For a list of specific projects that will be considered by each region, participating in this announcement, please go to Section V. part B.

### **Region 10 Information**

**Region 10 funding.** Region 10 expects to commit up to \$400,000 for Source Reduction Grants in 2005.

**Region 10 funding priorities are for activities involving:**

- Facilitation and support of the network of pollution prevention technical assistance providers;
- Environmentally preferable purchasing, including renewable energy certificate market development projects, and
- Developing pollution prevention projects of interest to states, regions and/or federally-recognized tribal governments.

**A. Introduction.** The Source Reduction Assistance (SRA) program grew out of an Agency requirement to compete all grants and cooperative agreements that award \$15,000 or more in programmatic funds.<sup>3</sup> This assistance agreement announcement applies to the additional funding resources available to the Agency to support source reduction, pollution prevention and/or resource conservation projects. For more information on regional programs, please visit EPA's Pollution Prevention web site at <http://www.epa.gov/p2>.

In order to achieve regional and preferably, national impact, scale-up of past successful projects, consistent with state/tribal and regional priorities, is strongly encouraged for grant applicants in FY 2005. Each region will have the flexibility of selecting at least one project, which demonstrates scale-up. For examples of scale-up please go to Section V. part A.

Also, in compliance with a new EPA Policy Order: 5700.7, applicants are now required to address either outcome or output environmental measurements in their pre-proposals or applications. The term "outcome" means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature but must be quantitative. The term "output" refers to an environmental activity or effort and associated work product related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during the assistance agreement funding period.

Examples of outcome based metrics include but are not limited to:

1. Pounds of pollution reduced,
2. BTUs of energy conserved,
3. Gallons of water saved, and
4. Dollars saved through P2 efforts.

Each regional office will give preference to work plans which address one or more of the outcome based environmental metrics listed above. However, EPA is fully aware that in many instances outcomes from the funded activity may not be readily measurable. In those instances, EPA will consider projects that only measure project outputs. "Outputs" refer to an environmental activity or effort related to an environmental goal or objective that will be produced or provided over a period of time, by a specified date. Outputs may be quantitative or qualitative but must be measurable during the assistance agreement funding period.

Examples of output measures include but are not limited to:

1. Number of stakeholder groups involved in the process,
2. Increased monitoring,
3. Number of workshops, training and courses conducted, and
4. Research conducted.

The EPA Order also requires the Agency to provide a description of how pre-proposals and applications will be ranked based on performing environmental measurement. For more information on how pre-proposals and applications will be evaluated on measurement and on other criteria, please go to Section V. part C.

**B. Background.** The Pollution Prevention Act of 1990 defines "source reduction" to mean any practice which reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal; and reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants.

Source reduction practices may include: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control.

The term "source reduction" does not include any practice which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service.

The term "pollution prevention" means source reduction, as defined under the Pollution Prevention Act, and other practices that reduce or eliminate the creation of pollutants through: increased efficiency in the use of raw materials, energy, water or other resources, or protection of natural resources through conservation.

The term "resource conservation" for purposes of this competitive announcement, is defined as preventing pollution, promoting reuse of materials, reducing the use of toxic chemicals, and/or conserving energy and materials.

**II. Award Information.** EPA will issue awards in the form of grants and cooperative agreements. If a cooperative agreement is awarded the degree of involvement by the Agency will be determined by the regional program office. However, EPA will not be substantially involved in the performance of grants. EPA expects to have approximately \$163,000 available, **per region**, in fiscal year 2005 to fund source reduction, pollution prevention and/or resource conservation projects.<sup>4</sup> All awards will be made through a competitive process. Awards will not be issued to applicants who request more than \$100,000 per year. Pre-proposals or applications exceeding a 2-year budget period will be rejected. EPA reserves the option to offer applicants partial funding for discrete activities described in an applicant's application. Please note: In order to be considered for partial funding, pre-proposals and applications must have clearly delineated activities or phases with separate budget estimates for each activity/phase of the project. In previous years, EPA has awarded related assistance agreements in the range of \$5,000 - \$100,000. EPA anticipates that all assistance agreements will be awarded by September 2005. EPA reserves the right to reject any or all proposals and make no awards.

### **III. Eligibility Information.**

**A. Eligible Applicants.** For purposes of this announcement, assistance through this assistance agreement program is available to the following entities (except those in EPA Regions 1 and 2): States, the District of Columbia, the United States Virgin Islands, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits (other than institutions of higher education), private institutions of higher education, and community-based grassroots organizations. Non-profit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided by the U.S. Internal Revenue Service or their state of incorporation. However, non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. If you have any questions regarding the applicability of this action to a particular entity, please contact the appropriate EPA Regional P2 Coordinator listed in section VII. for further instruction. Eligibility will be used as a pass/fail criterion when evaluating proposals. Applicants who do not meet the eligibility criteria will not be considered.

**B. Matching requirements.** EPA requires a minimum 5% match. The match may be issued in the form of cash and/or in-kind contributions, e.g., charges for real property and equipment or the value of goods and services directly benefitting the EPA funded project.

**C. Statutory Authority.** The SRA grants and cooperative agreements will be awarded using the following statutory authorities: Clean Air Act, Section 103(b) and (g), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and Toxic Substances Control Act, Section 10, as amended. All activities in the pre-proposals and/or applications must be eligible under one or more of these statutory authorities.

#### **IV. Application and Submission Information.**

**A. Address to Request Application Forms.** Applicants may download applicable forms from the Internet at <http://www.epa.gov/ogd/AppKit/application.htm>. **Please note, some regions will allow applicants to submit pre-proposals instead of submitting a full application package, please go to part E to determine which regions will accept pre-proposals or applications.** Applicants who need assistance in filling out application forms may contact EPA's Grants Administration Division at (202) 564-5305.

**B. How to Submit a Pre-Proposal or Application.** Applicants must send all packages either by regular mail or by an overnight delivery service. However, overnight delivery is strongly advised. Please send packages to the appropriate regional office listed in Section VII. **Courier service will not be accepted.**

##### **Region 10 Information**

Please e-mail or mail preapplications to (e-mail submissions are encouraged):

**Carolyn Gangmark**  
[gangmark.carolyn@epa.gov](mailto:gangmark.carolyn@epa.gov)

-or-

**U.S. EPA Region 10**  
**1200 Sixth Ave., OEA-095**  
**Seattle, WA 98101**

**C. Content and Form of Pre-Proposal or Application.** Each regional office determines if it will accept pre-proposals or requires applicants to submit an entire application package. To determine which regions accept pre-proposals versus an entire application package, please go to part E. Regions which accept pre-proposals, require applicants to submit two copies, each copy must be no more than 4 pages, using no less than 11 point font. Double-sided copies are preferred. Regions which accept applications, require all applicants to submit two copies, each copy must be no more than 7 pages, using no less than 11 point font. Double-sided copies are preferred. Applications which do not conform to pre-proposal and application content and form requirements will be rejected. To read about the pre-proposal and application review and selection process please go to Section V. part C. and part D., respectively.

##### **Region 10 Information**

Content and form of EPA Region 10 preapplications. Please submit a two to three page statement of your project. Selected preapplication projects will subsequently be required to submit a grant application (similar to the application requirement described in this guidance for applying to HQ EPA).

**D. Before Writing the Work Plan.** Prior to writing the work plan, applicants are advised to go to Section V. part B., to find out what types of projects will be considered by the regional program office. **Please note: Any proposed project submitted outside of what is listed by the region will be rejected.** Applicants are also strongly encouraged (but not required) to contact their regional Pollution Prevention Resource Exchange (P2Rx) center (there are eight centers in total) to ascertain what P2 work has already been accomplished in their field of interest. For more information on P2Rx centers please visit <http://www.p2rx.org>.

**E. Complying With Programmatic Capability.** Under a new EPA Policy Order: 5700.8, the SRA program is required to evaluate the "programmatic capability" of all eligible applicants. The Agency defines programmatic capability as "the technical capability of the applicant or recipient to successfully carry out a project." Applicant work plans will be evaluated on the evaluation ranking criteria listed in Section V. part C. However, as required by the new Order, programmatic capability criteria (i.e., Roman numerals i. through vii.) will be given "significant weight" in the evaluation process. The exact weights will be determined by the regional program office, who will post this information to their regional web site. Regional web sites are listed in Section VII.

The evaluation of programmatic capability only applies to applicants who submit an application. It does not apply to applicants who are given the option, by the region, to submit a pre-proposal. However, if an applicant's pre-proposal merits further consideration, the applicant will be asked by the regional program office to submit an entire application package – which will be evaluated on the programmatic capability ranking criteria. When evaluating the programmatic ranking criteria, EPA will consider information provided by the applicant and also may consider information from other sources, including Agency files.

**F. Submission Dates.** Listed below are pre-proposal and application deadlines. All applicants must submit their pre-proposals and/or applications to the appropriate EPA Regional office. Deadlines for pre-proposals and applications vary among each region and are listed below. Pre-proposals or applications received after the submission date will be rejected. EPA anticipates funding decisions will be made by September 2005.

Region 1 - the region is not participating in this assistance agreement announcement, no pre-proposals or applications will be accepted.

Region 2 - the region is not participating in this assistance agreement announcement, no pre-proposals or applications will be accepted.

Region 3 - Applications are due by May 20

Region 4 - Pre-proposals are due by May 20

Region 5 - Pre-proposals are due by May 20

Region 6 - Applications are due by May 20

Region 7 - Pre-proposals are due by May 20, applications are due by June 13

Region 8 - Applications are due by May 20

Region 9 - Applications are due by May 20

Region 10 - Applications are due by May 20 (if remaining funds are left over, a second competition will be conducted by the region, in this circumstance applications will be due by June 24).

**G. Intergovernmental Review.** This program may be eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. <http://www.whitehouse.gov/omb/grants/spoc.html>. Federally-recognized tribal governments are not required to comply with this procedure.

**H. Funding Restrictions.** EPA assistance agreement funds may only be used for the purposes set forth in the grant or cooperative agreement, and must be consistent with the statutory authority of the award. Assistance agreement funds may not be used for matching funds for other Federal grants or cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. All costs identified in the budget must conform to applicable Federal Cost Principles contained in OMB Circular A-87; A-122; and A-21, as appropriate. Ineligible costs will be reduced from the final grant award.

**I. Other Submission Requirements.**

**1. DUNS Number.** The Office of Management and Budget (OMB) now requires grant and cooperative agreement applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. The DUNS number will supplement other identifiers required by statute or regulation, such as tax identification numbers.

Organizations can receive a DUNS number in one day, at no cost, by calling the toll-free DUNS Number request line at 1-866-705- 5711. Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or nonprofit organization they may operate are exempt from this requirement. The website where an organization can obtain a DUNS number is: <http://www.dnb.com>. This takes 30 business days and there is no cost unless the organization requests expedited (1-day) processing, which includes a fee of \$40.

A DUNS number **must** be included in every application for a new award or renewal of an award. A new revised version of the SF-424 will include the DUNS number. Applicants can download the revised version at <http://www.whitehouse.gov/omb/grants/sf424.pdf>.

**2. Confidential Business Information.** In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application and/or pre-proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications and/or pre-proposals or portions of applications and/or pre-proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

**3. Agency Strategic Plan.** EPA will not fund any projects developed apart from Agency's Strategic Plan listed under Goal 5. Compliance and Environmental Stewardship; Objective 5.2: Improve Environmental Performance through Pollution Prevention, and Innovation, **see pp.114-115. Applicants may view the objective and sub-objectives by visiting** <http://www.epa.gov/ocfo/plan/plan.htm>.

## **V. Application Review Information.**

**A. General Objective.** This year, in order to achieve regional and preferably, national impact, scale-up of past successful projects, consistent with state/tribal and regional priorities, is strongly encouraged for grant applicants in FY 2005. Each region will have the flexibility of selecting at least one project, which demonstrates scale-up.

The intention of scaling-up prior P2 projects is to generate greater environmental impact within the regions. Examples of prior projects that have the potential to be scaled-up include but are not limited to: 1) expanding/replicating existing projects within hospitals and healthcare facilities, by supporting mercury reduction and best management practices, 2) expanding/replicating existing environmental management systems within state and tribal government offices, 3) expanding/replicating best management practices within colleges and universities, 4) expanding/replicating sustainable planning activities, etc.

**B. Regional Project Objectives.** Listed below are the projects that each region will consider through this SRA program announcement. **Any proposed projects submitted outside of what is listed by the region will be rejected.**

### **Region 3**

- Source reduction and pollution prevention,
- Product stewardship,
- Design for the environment and green manufacturing
- Environmentally preferable purchasing (includes post-consumer content),

- green building research and development (includes reuse of construction and demolition materials, low impact development projects),
- Reducing environmental exposure to sensitive populations (e.g., pesticides, asbestos, radon and harmful food exposures),
- Energy conservation and innovation including renewable energy resource development (e.g., Energy Star, Green Energy, solar, wind, geothermal) and reduction of energy production emissions,
- Voluntary pollution prevention incentives to reduce air toxics,
- Development and implementation of environmental management systems,
- Environmental assistance activities,
- Community revitalization,
- Minimization of persistent, bioaccumulative and toxic chemicals,
- Minimization of priority chemicals (e.g., lead & lead compounds, mercury, naphthalene, Polycyclic Aromatic Compounds (PAHs), cadmium, and brominated flame retardants), and
- Continuing development of EPA Region 3 expertise in preventive approaches, innovative technologies and sustainability.

#### **Region 4**

- Support of waste reduction efforts by retiree programs,
- Support P2 efforts in Resource Conservation Challenge,
- Projects that develop P2 BMPs for Clean Air Act regionally selected area source category, and
- Support of the Waste Reduction Resource Center (Region's P2 Technical Support Center).

#### **Region 5**

- Hospitals for a Healthy Environment (H2E),
- Greening the Supply Network (GSN),
- Hazardous Air Pollutant (HAP) source reduction practices,
- P2 measurement methods,
- Consolidating energy efficiency into process improvement assessments, and
- Improving coordination of the Great Lakes Regional Roundtable.

#### **Region 6**

- Hospitals for a Healthy Environment (H2E),
- Environmentally Preferable Purchasing (EPP),
- Greening Government or Supply Chain,
- Performance Track,
- P2 based environmental management systems,
- Developing Pollution Prevention projects of interest to states, regions, and/or federally-recognized tribal governments.

#### **Region 7**

- Agriculture,
- Persistent, bioaccumulative and toxic chemical reduction,
- Toxicity reduction,
- Waste reduction,
- Energy conservation, and
- Water conservation.

## Region 8

- Pollution prevention and environmental management systems,
- Source reduction and recycling,
- Energy Star/energy efficiency,
- Pollution prevention projects of interest to states, regions and/or Federally recognized Tribal governments, and
- Continuing development of EPA Region 8 expertise in preventive approaches, innovative technologies and sustainability.

## Region 9

- Source reduction and product stewardship,
- Design for the environment and green manufacturing,
- Environmentally preferable purchasing,
- green building research and development,
- Reducing environmental exposure to sensitive populations,
- Reduction of hazardous air pollutants,
- Environmental assistance activities,
- Minimization of persistent, bioaccumulative and toxic chemicals,
- Development or support of community-based technical assistance approaches for toxics reduction, and
- Environmental information for consumers.

## Region 10

- Facilitation and support of the network of pollution prevention technical assistance providers,
- Environmentally preferable purchasing, including renewable energy certificate market development projects, and
- Developing pollution prevention projects of interest to states, regions and/or federally-recognized tribal governments.

**C. Review Process.** Pre-proposals and/or applications will be reviewed and evaluated on the eight criteria listed below. To determine how evaluation points will be assigned by the regional program office, please go to the appropriate regional web site listed in Section VII.

**i. Project management.** The work plan identifies key personnel who will work on the project and demonstrates their qualification and accountability. Applicants may attach resumes as attachments. Attachments will not count against pre-proposal or application page limits.

**ii. Organizational Experience.** The work plan describes how the applicant will plan for timely and successful completion of the objectives of the project.

**iii. Past performance.** The work plan describes the successful execution of similar projects and how lessons learned from past projects will benefit the proposed project. In addition, the application must identify any adverse audit findings or grant enforcement actions taken by any Federal agency against the applicant during the past 5 years. EPA may verify some past performance information. If the applicant does not have past performance history, the applicant will receive a neutral score, as determined by the region.

**iv. Applicant History.** The work plan describes the applicant's history of meeting reporting requirements on prior or current assistance agreements with federal and/or non-federal organizations and submitting acceptable final technical reports.



**v. Project strategy.** The work plan includes a well-conceived strategy to achieve the project goals and objectives and a reasonable schedule for the execution of the tasks associated with each goal. The review panel will consider how well an application relates to overarching Agency goals, objectives, and strategic priorities, such as those stated in the EPA Strategic Plan (available at [www.epa.gov/ocfopage/plan/2003sp.pdf](http://www.epa.gov/ocfopage/plan/2003sp.pdf)).

**vi. Environmental measurement.** EPA will evaluate the applicant's work plan for tracking and measuring its progress towards achieving the expected outcomes or outputs identified in Section I of the announcement.

**vii. Budget.** The budget and associated narrative of the work plan demonstrates effective and judicious use of Federal funds. EPA requires a 5% match. Please note that use of EPA financial assistance compensation for consultants is limited under EPA's appropriations act to the daily equivalent of the rate paid to Federal employees at the ES-IV level. The budget and narrative must be included as a separate attachment. Attachment will not count against pre-proposal or application page limits.

**viii. Partnerships.** The work plan makes effective use of partnerships, wherever possible, to leverage other organizations' funding and expertise. Partners must provide letter(s) of support from an official within the organization, specifying and confirming their specific contributions to the project. Letters must be included as attachments. Attachments will not count against pre-proposal or application page limits.

**In addition to the evaluation criteria listed above, geographic distribution of projects will be taken into consideration, in order to serve and reflect the geographic diversity of the Region.**

#### **Region 10 Information**

##### **Region 10 criteria and points for review of preapplications:**

**i. Region 10 Objectives.** Degree to which the project(s) meet the three Region 10 P2 objectives (these are shown in Section V. B. Region Project Objectives) and reiterated below. 40 points.

- Facilitation and support of the network of pollution prevention technical assistance providers,
- Environmentally preferable purchasing, including renewable energy certificate market development projects, and
- Developing pollution prevention projects of interest to states, regions and/or federally-recognized tribal governments.

***Below are the criteria enumerated in Section V. C. Review Process and shown here with the Region 10 point values.***

**ii. Project management.** The work plan identifies key personnel who will work on the project and demonstrates their qualification and accountability. Applicants may attach resumes as attachments. Attachments will not count against pre-proposal or application page limits. 5 point.

**iii. Organizational Experience.** The work plan describes how the applicant will plan for timely and successful completion of the objectives of the project. 5 points.

**iv. Past performance.** The work plan describes the successful execution of similar projects and how lessons learned from past projects will benefit the proposed project. In addition, the application must identify any adverse audit findings or grant enforcement actions taken by any Federal agency against the applicant during the past 5 years. EPA may verify some past performance information. If the applicant does not have past performance history, the applicant

will receive a neutral score, as determined by the region. 5 points.

**v. Applicant History.** The work plan describes the applicant's history of meeting reporting requirements on prior or current assistance agreements with federal and/or non-federal organizations and submitting acceptable final technical reports. 5 points

**vi. Project strategy.** The work plan includes a well-conceived strategy to achieve the project goals and objectives and a reasonable schedule for the execution of the tasks associated with each goal. The review panel will consider how well an application relates to overarching Agency goals, objectives, and strategic priorities, such as those stated in the EPA Strategic Plan (available at [www.epa.gov/ocfopage/plan/2003sp.pdf](http://www.epa.gov/ocfopage/plan/2003sp.pdf)). 15 points.

**vii. Environmental measurement.** EPA will evaluate the applicant's work plan for tracking and measuring its progress towards achieving the expected outcomes or outputs identified in Section I of the announcement. 10 points.

**viii. Budget.** The budget and associated narrative of the work plan demonstrates effective and judicious use of Federal funds. EPA requires a 5% match. Please note that use of EPA financial assistance compensation for consultants is limited under EPA's appropriations act to the daily equivalent of the rate paid to Federal employees at the ES-IV level. The budget and narrative must be included as a separate attachment. Attachment will not count against pre-proposal or application page limits. 10 points.

**ix. Partnerships.** The work plan makes effective use of partnerships, wherever possible, to leverage other organizations' funding and expertise. Partners must provide letter(s) of support from an official within the organization, specifying and confirming their specific contributions to the project. Letters must be included as attachments. Attachments will not count against pre-proposal or application page limits. 5 points.

**D. Selection Process.** Pre-proposals and/or applications will be selected based eligibility requirements and the selection process of the region. With special concern to pre-proposals, if a region accepts the applicant's pre-proposal during the initial review process, the applicant will be contacted by the regional office. At that time, the regional office will instruct the applicant on how to complete their application. From the pool of applications, the regional office will make their final selections. Final award decisions will be made by the Division Director within each regional program office. For more information on the selection process please either contact the Regional P2 Coordinator or visit the appropriate regional web site listed in Section VII. All work plans must meet the eligibility requirements identified in Section III.

**1. Partial Funding.** EPA reserves the option to offer applicants partial funding for discrete activities described in an applicant's pre-proposal or application. Please note: In order to be considered for partial funding, pre-proposals and applications must have clearly delineated activities or phases with separate budget estimates for each activity/phase of the project.

**E. Anticipated Announcement of Awards.** EPA anticipates that all awards will be announced by September 2005.

## **VI. Award Administration Information.**

**A. Award Notices.** EPA anticipates that award notices will be issued by October 2005. Non-profit applicants which qualify for funding may, depending on the size of the award, be required to fill out and submit to the region, with supporting documents, an Administrative Capability Form, consistent with the requirements of paragraphs 8.b, 8.c, and 9.d of EPA Policy Order: 5700.8.

**B. Dispute Resolution Process.** Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>. Copies of these procedures may be requested by contacting the appropriate Regional P2 Coordinator listed in Section VII.

### **C. Administrative Requirements.**

**1. Audits.** Periodic audits should be made as part of the recipient's system of financial management and internal control to meet the terms and conditions of grants and other assistance agreements. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," non-federal entities that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. The Office of Management and Budget (OMB) Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations," was published in the Federal Register on June 30, 1997. The Circular implements the Single Audit Act amendments of 1996. State agencies that receive less than \$300,000 within the State's fiscal year shall have an audit made in accordance with Federal laws and regulations governing the programs in which they participate.

**2. Records.** Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

### **D. Reporting.**

**1. Uniform reporting requirements for institutions of higher education and other non-profit organizations.** The recipient, along with the Regional Project Officer, will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR part 30, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see §§ 30.51 through 30.53). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Regional Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Regional Project Officer and the recipient will negotiate a resolution. The recipient may request a review of the Regional Project Officer's decision under the dispute resolution process under (40 CFR 30.63).

**2. Uniform reporting requirement for state, local and tribal governments.** The recipient along with the Regional Project Officer, will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 31, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see §§ 31.40 through 31.42). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Regional Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Regional Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Regional Project Officer may take appropriate action (see §§ 31.43 through 31.44.) The recipient may request a

review of the Regional Project Officer's decision under the dispute resolution process under 40 CFR, Part 31, subpart F.

## **VII. Agency Contacts.**

### **EPA Regional P2 Program Offices**

#### **U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.)**

1650 Arch Street

Mail Code: 3EA40

Philadelphia, PA 19103-2029

Phone: (215) 814-3299

<http://www.epa.gov/region03/p2/index.htm>

#### **U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN)**

Atlanta Federal Center

61 Forsyth Street S.W.

Atlanta, GA 30303

Phone: (404) 562-9028

<http://wrrc.p2pays.org/P2GrantInfo.asp>

#### **U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI)**

77 West Jackson Blvd.

Mail Code: DW-8J

Chicago, IL 60604-3590

Phone: (312) 353-4669

<http://www.epa.gov/region5/p2/grants.htm>

#### **U.S. EPA Region 6 (AR, LA, NM, OK, TX)**

1445 Ross Ave.

Suite 1200

Mail Code: 6EN-XP

Dallas, TX 75202

Phone: (214) 665-2119

<http://www.epa.gov/earth1r6/6en/xp/enxp4d.htm>

#### **U.S. EPA Region 7 (IA, KS, MO, NE)**

901 N. 5th Street

Mail Code: ARTD/SWPP

Kansas City, KS 66101

Phone: (913) 551-7097

[http://www.epa.gov/region07/economics/r7\\_grant\\_opportunities.htm](http://www.epa.gov/region07/economics/r7_grant_opportunities.htm)

#### **U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY)**

999 18th Street

Suite 300

Mail Code: 8P-P3T

Denver, CO 80202-2466

Phone: (303) 312-6385

[http://www.epa.gov/region08/conservation\\_recycling/polpre.html](http://www.epa.gov/region08/conservation_recycling/polpre.html)

#### **U.S. EPA Region 9 (AZ, CA, HI, NV, Pacific Islands)**

Office of Pollution Prevention and Solid Waste

75 Hawthorne Street, WST-7

San Francisco, CA 94105  
Phone: (415) 972-3283  
<http://www.epa.gov/region09/p2>

U.S. EPA Region 10 (AK, ID, OR, WA)  
1200 Sixth Ave.  
Mail Code: 01-085  
Seattle, WA 98101  
Phone: (206) 553-4072  
<http://yosemite.epa.gov/R10/OI.NSF/webpage/2005+Region+10+Pollution+Prevention+Grant>

## Notes

<sup>1</sup> EPA Region 10 plans to have additional assistance agreement funds available, please visit the regional web site listed in Section VII. for more information.

<sup>2</sup> For more information about the assistance agreement notices being developed by EPA Regions 1 and 2, please visit to their respective web sites at <http://www.epa.gov/region1/assistance/p2/index.html>, and [http://www.epa.gov/region02/rfp/2005/conservation\\_challenge.htm](http://www.epa.gov/region02/rfp/2005/conservation_challenge.htm).

<sup>3</sup> For more information about the Agency's policy on competition in assistance agreements, please visit <http://www.epa.gov/ogd/grants/competition.htm>.

<sup>4</sup> EPA Region 10 plans to have additional grant funds available, please visit the regional web site listed in Section VII. for more information.